UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/701,200	11/27/2000	George Friedman	1243-00	7269

			EXAMINER
35811	7590	03/13/2006	THAI, TUAN V

IP GROUP OF DLA PIPER RUDNICK GRAY CARY US LLP
1650 MARKET ST
SUITE 4900
PHILADELPHIA, PA 19103

ART UNIT	PAPER NUMBER
2186	

DATE MAILED: 03/13/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

	Application No.	Applicant(s)
	09/701,200	FRIEDMAN ET AL.
Office Action Summary	Examiner	Art Unit	
	Tuan V. Thai	2186	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>23 December 2005</u>.

2a)☐ This action is **FINAL.**   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) <u>1-35</u> is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) <u>1,2,4-6,8-10,12-14,16-18 and 20-35</u> is/are rejected.

7)☒ Claim(s) <u>3, 7, 11, 15 and 19</u> is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on <u>27 November 2000</u> is/are: a)☒ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____.

4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.

5) ☐ Notice of Informal Patent Application (PTO-152)

6) ☐ Other: _____.

Part III   DETAILED ACTION

Specification

1.   A request for continued examination under 37 CFR 1.114,
including the fee set forth in 37 CFR 1.17(e), was filed in this
application after final rejection. Since this application is
eligible for continued examination under 37 CFR 1.114, and the
fee set forth in 37 CFR 1.17(e) has been timely paid, the
finality of the previous Office action has been withdrawn
pursuant to 37 CFR 1.114.   Applicant's submission filed on
12/23/2005 has been entered.   Claims 1-35 are presented for
examination.

2.   Applicant is reminded of the duty to fully disclose
information under 37 CFR 1.56.

Rejections - 35 USC § 103

3.   The following is a quotation of 35 U.S.C. 103(a) which forms
the basis for all obviousness rejections set forth in this Office
action:

(a) A patent may not be obtained though the invention is not
     identically disclosed or described as set forth in section
     102 of this title, if the differences between the subject
     matter sought to be patented and the prior art are such that
     the subject matter as a whole would have been obvious at the
     time the invention was made to a person having ordinary
     skill in the art to which said subject matter pertains.
     Patentability shall not be negatived by the manner in which
     the invention was made.

4.   Claims 1-2, 4-6, 8-10, 12-14, 16-18 and 20-35 are rejected

under 35 U.S.C. 103(a) as being unpatentable over Bapat et al.,

hereinafter Bapat (USPN: 6,038,563); in view of David A. Soloman

(Inside Window NT, Second Edition), hereinafter Soloman.

As per claims 1 and 5; Bapat discloses the invention as

claimed including a system and method for monitoring a registry

monitoring system comprises requesting (a) a handle for a

registry key to a calling process and (b) a registry key value

for the handle is equivalently taught as requesting access to

specified sets of the managed objects in a control database (e.g.

see abstract; figures 1-2 and 4-5; column 3, lines 17 et seq.);

obtaining security clearance to complete the requests is taught

as an access control server provides access to the managed

objects in accordance with the access rights specified by the

access control database (e.g. see abstract, column 3, lines 21 et

seq.). Bapat, however, does not particularly disclose the

security clearance parameter is updated by a system command in

association with one or more of the requests. Soloman discloses

the missing element that is known to be required in the system

Bapat in order to arrive at the Applicant's current invention

wherein Soloman clearly discloses the security clearance

parameter is updated by a system command in association with one

or more of the requests (e.g. see page 305, fourth paragraph);

Soloman further discloses in Discretionary access control list

(DACL), each access control entry ACE contains a security ID and

an access mask wherein two types of ACEs can appear in a DACL,

access allowed which grants access to the user and access denied

which denies the access rights specified in the access mask, the

accumulation of access rights granted by individual ACEs forms

the set of access rights granted by an ACL, and if no DACL is

present in a security descriptor, then the object can be fully

accessed by everyone; on the other hand, if the DACL is null,

then no user has access to the object (e.g. see page 311, third

paragraph; also see pages 312-314). Accordingly, it would have

been obvious to one having ordinary skill in the art at the time

the current invention was made to utilize the teaching of Soloman

wherein the security clearance parameter is updated by a system

command in association with one or more of the requests with that

of Bapat invention. In doing so, it would (a) increase data

locality, and (b) reduce number of system clock cycles that would

otherwise require for updating the requests and system command

separately, thereby increasing system throughput and reducing bus

traffic or bus utilization, therefore being advantageous. The

combination of Bapat and Soloman disclose the invention as

claimed. Noting that Bapat and Soloman discloses the security

clearance parameter having threshold (limit) being equivalent to

the permission table parameters/variables embedded in system of

Bapat wherein it's known that the permission table utilize these

parameters/ variables in order to define a subset of rows in the

database tables that are accessible to at least one of the users,

and the set of database table rows that are accessible

corresponds to the manage object access rights specified by the

access control database (e.g. see Bapat's column 3, lines 32-41).

The combination of Bapat and Soloman do not particularly disclose

the parameter threshold being adjustable. Accordingly, it would

have been further obvious to one having ordinary skill in the art

at the time the current invention was made to having the security

clearance parameters be implemented as adjustable as being

claimed intead of fixed value in order to arrive at the

Applicant's current invention. By doing so, it would allow the

system of Bapat and Soloman to serve broader range of

application, increasing system adaptability, therefore being

advantageous. (See also MPEP 2144.04(V) as to why making

adjustable is not sufficient to distinguish over the prior art).

As per claims 2, 4, 6 and 8; Bapat discloses his database

management system stores the management information (process ID

and registry key value as being claimed) sent by the information

transfer mechanism in a set of database tables, wherein each

database table stores the management information for

corresponding managed objects in individual rows (e.g. see

abstract, column 3, lines 26-30); noting that Bapat further

discloses *an access control procedure limits access to the*

management information stored in the database tables using at

least one permission table (e.g. see column 3, lines 31 et seq.;

column 26, lines 10 et seq.), wherein a database access engine

accesses information in the set of database tables using the

permission table such that each user is allowed access only to

management information in the set of database that the user would
be allowed by the access control data to access (e.g. see column
3, lines 41-45; column 27, lines 47 et seq.).

As per claims 9-10, 12, 17-18 and 20, they encompass the
same scope of invention as to that of claims 1-2, 4; 5-6 and 8
respectively; the claims are therefore rejected for the same
reason as being set forth above.

As per claims 13-14 and 16; the combination of Bapat and
Soloman discloses the invention as claimed, detailed above with
respect to claims 1, 5, 9 and 17; Bapat and Soloman however do
not particularly disclose a computer-readable medium comprising
computer executable instructions for performing method recited in
claims 1, 5, 9 and 17. However, one of ordinary skill in the art
would have recognized that computer readable medium (i.e.,
floppy, cd-rom, etc.) carrying computer-executable instructions
for implementing a method, because it would facilitate the
transporting and installing of the method on other systems, is
generally well-known in the art. For example, a copy of the
Microsoft Windows operating system can be found on a cd-rom from
which Windows can be installed onto other systems, which is a lot
easier that running a long cable or hand typing the software onto
another system. The examiner takes Official Notice of this
teaching. Therefore, it would have been obvious to put Bapat and
Soloman's program on a computer readable medium, because it would
facilitate the transporting, installing and implementing of Bapat
and Soloman's program on other systems; therefore being

advantageous.

As per claims 21 and 29; see arguments with respect to claims 1, 5 and 13; they encompass the same scope of invention as to that of claims 1, 5 and 13; the claims are therefore rejected for the same reasons as being set forth above.

As per claims 22 and 30, the further limitation of denying security clearance when at least on security clearance parameter is satisfied is taught by Bapat and Soloman (e.g. see Bapat's column 3, lines 26-30; and Soloman's page 311, third paragraph, lines 1 et seq.; page 313 lines 1 et seq.);

As per claims 23 and 31, wherein said at least one security clearance permission is associated with the elapsed time since the handle or registry key value has been previously requested (e.g. see Soloman's page 310, first paragraph et seq.);

As per claims 24 and 32, the further limitation of at least one security clearance permission is associated with the number of times said handle or registry key value has been previously requested is taught by Soloman since Soloman clearly teaches whn all the entries in the DACL have been examined, the computed granted access mask is returned to the caller as the maximum allowed access to the object (e.g. see page 313, 7th paragraph);

As per claims 25 and 33, wherein said at least one security clearance permission is associated with the date in which the handle or registry key value was previously requested (e.g. see Soloman's page 310, first paragraph et seq.);

As per claims 26 and 34, wherein at least one security

clearance permission is associated with the accumulated time the
handle or registry key value has been previously accessed e.g.
see Soloman's page 310, first paragraph et seq.; page 313, 7th
paragraph et seq.);

As per claims 27 and 35, wherein said previous access
includes modifying and deleting keys and values of protected data
locations (e.g. see Soloman's page 313, first paragraph bridging
pages 315, line 2);

As per claim 28, the further limitation of the machine-
readable medium includes at least one device driver is taught and
embedded in the system of Bapat and Soloman (e.g. see Soloman's
figure 6-1, page 308);

Allowable subject matter

5.   Claims 3, 7, 11, 15 and 19 are objected to as being
dependent upon a rejected base claim, but would be allowable if
rewritten in independent form including all of the limitations of
the base claim and intervening claims.

6.   Examiner would like to emphasize that the combination of
Bapat and Soloman specifically disclose the security clearance
parameter is updated by a system command in association with one
or more of the requests (e.g. see Soloman's page 305, 4th
paragraph et seq.; also see pages 313-314); Soloman further
discloses in Discretionary access control list (DACL), each
access control entry ACE contains a security ID and an access
mask wherein two types of ACEs can appear in a DACL, access

allowed which grants access to the user and access denied which
denies the access rights specified in the access mask, the
accumulation of access rights granted by individual ACEs forms
the set of access rights granted by an ACL, and if no DACL is
present in a security descriptor, then the object can be fully
accessed by everyone; on the other hand, if the DACL is null,
then no user has access to the object (e.g. see page 311, third
paragraph; also see pages 312-314).

Conclusion

7.   Any inquiry concerning this communication or earlier
communications from the examiner should be directed to Tuan V.
Thai whose telephone number is (571)-272-41287. The examiner can
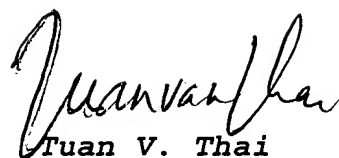normally be reached from 6:30 A.M. to 4:00 P.M.

      If attempts to reach the examiner by telephone are
unsuccessful, the examiner's supervisor, Mathew M. Kim can be
reached on (571)-272-4182. The fax phone number for the
organization where this application or proceeding is assigned is
571-273-8300. Information regarding the status of an application
may be obtained from the Patent Application Information Retrieval
(PAIR) system. Status information for published applications may
be obtained from either Private PAIR or Public PAIR. Status
information for unpublished applications is available through
Private PAIR only. For more information about the PAIR system,
see http://pair-direct.uspto.gov. Should you have questions on
access to the Private PAIR system, contact the Electronic

Art Unit: 2186

Business Center (EBC) at 866-217-9197 (toll-free).

TVT/March 03, 2006

Tuan V. Thai
PRIMARY EXAMINER
Group 2100